



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/668,516	09/23/2003	Marshall Caro	AP35870-074740.0101	1870

21003 7590 10/17/2007
BAKER BOTTS L.L.P.
30 ROCKEFELLER PLAZA
44TH FLOOR
NEW YORK, NY 10112-4498

EXAMINER

SHAIKH, MOHAMMAD Z

ART UNIT	PAPER NUMBER
----------	--------------

4172

NOTIFICATION DATE	DELIVERY MODE
-------------------	---------------

10/17/2007

ELECTRONIC

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

DLNYDOCKET@BAKERBOTTS.COM

Office Action Summary	Application No. 10/668,516	Applicant(s) CARO, MARSHALL	
	Examiner Mohammad Z. Shaikh	Art Unit 3609 4172	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☐ Responsive to communication(s) filed on ____.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-47 is/are pending in the application.
- 4a) Of the above claim(s) ____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) ____ is/are allowed.
- 6) ☒ Claim(s) 1-47 is/are rejected.
- 7) ☐ Claim(s) ____ is/are objected to.
- 8) ☐ Claim(s) ____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on ____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
 Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
 Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. ____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|---|--|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. ____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date ____ | 6) <input type="checkbox"/> Other: ____ |

Claim Rejections- 35 USC§103

The following is a quotation of 35 U.S.C 103 which forms the basis for all obviousness rejections set forth in this office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

1. Claims 1,6,18,21,26-28,45,47 are being rejected under 35 U.S.C 103(a) as being unpatentable over US 20030167223 to Pledereder in view of US Patent 7,212,999 to Friesen et al, herein referred to as Friesen.

Regarding claim 1, Pledereder discloses a method for augmenting the information content of electronic messages between parties trading in financial instruments, wherein the electronic messages have display formats and sizes limited by industry protocol (page 13, claim 1, lines 1-3), the method comprising:

Receiving an electronic message from a sender party (page 13, claim 1, lines 1-3).

Transmitting the electronic message to a recipient party for fixed format display (page 13, claim 1, lines 11-12). However Pledereder does not disclose embedding an activation link in the displayed message, wherein the link leads to an information augmentation; and providing information augmentation in response to the recipient party's activation of the link. Friesen teaches embedding an activation link in the displayed message, wherein the link leads to an information augmentation; and

Art Unit: ~~3609~~ 4172

providing information augmentation in response to the recipient party's activation of the link (column 13, lines 10-30). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Pledereeder's invention to include disclosing embedding an activation link in the displayed message, wherein the link leads to an information augmentation; and providing information augmentation in response to the recipient party's activation of the link. One of ordinary skill in the art would have been motivated to modify Pledereeder's invention in order to ensure that the activation link becomes part of the displayed message in order to ensure that the trading parties receive all pertinent information before making the trade.

Regarding claim 6, Pledereeder discloses the method of claim 1. However Pledereeder does not disclose further comprising storing electronic messages between the parties as data records in a database. Friesen does disclose further comprising storing electronic messages between the parties as data records in a database (Fig 2, 208(3)). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Pledereeder's invention to include a feature to store electronic messages between the parties as data records in a database. One of ordinary skill in the art would have been motivated to modify Pledereeder's invention in order to ensure all records are properly maintained in a database.

Regarding claim 18, Pledereeder discloses a system for augmenting the information content of electronic messages between parties trading in financial instruments, wherein the electronic messages have restricted display size according to financial industry protocols, the method comprising: means for receiving an electronic

Art Unit: 3609 ~~4172~~

message from a sender party; means for transmitting the electronic message to a recipient party for restricted size display according to financial industry protocols. However Pledereder does not disclose means for embedding an activation link in the restricted size display, wherein the activation link leads to an information augmentation; and means for providing the information augmentation in response to activation of the link. Friesen discloses means for embedding an activation link in the restricted size display, wherein the activation link leads to an information augmentation; and means for providing the information augmentation in response to activation of the link (column 13, lines 10-30). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Pledereder's invention to include means for embedding an activation link in the restricted size display, wherein the activation link leads to an information augmentation; and means for providing the information augmentation in response to activation of the link. One of ordinary skill in the art would have been motivated to include an embedded activation link to access more information in order to ensure that the traders have all pertinent information before executing a trade.

Regarding claim 21, Pledereder discloses the system of claim 18. However Pledereder does not disclose a means for storing electronic messages between the parties as data records in a database. Friesen does disclose a means for storing electronic messages between the parties as data records in a database (Fig 2, 208(3)). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Pledereder's invention to include a means for storing electronic

Art Unit: ~~3609~~ 4172

messages between the parties as data records in a database. One of ordinary skill in the art would have been motivated to include a records database in order to ensure that that proper archiving is kept of all trading transactions.

Regarding claim 26, Pledereder discloses the system of claim 25. However Pledereder does not disclose wherein the sender party is associated with a first coverage team including at least the sender party, wherein the recipient is associated with a second coverage team including at least the recipient party, and the means for providing the information augmentation comprises means for providing an instant messaging session between the two coverage teams in response to the recipient party's activation of the activation link in the displayed message. Friesen does disclose wherein the sender party is associated with a first coverage team including at least the sender party, wherein the recipient is associated with a second coverage team including at least the recipient party, and the means for providing the information augmentation comprises means for providing an instant messaging session between the two coverage teams in response to the recipient party's activation of the activation link in the displayed message ((Fig 11). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Pledereder's invention to include a feature whereby the sender party is associated with a first coverage team including at least the sender party, wherein the recipient is associated with a second coverage team including at least the recipient party, and the means for providing the information augmentation comprises means for providing an instant messaging session between the two coverage teams in response to the recipient party's activation of the activation link in the displayed

Art Unit: ~~3609~~ 4172

message. One of ordinary skill in the art would have been motivated to include a feature where both parties are notified via instant messaging in order to ensure the transactions between the traders are executed without any errors.

Regarding claim 27, Pledereder does disclose the system of claim 25.

However Pledereder does not disclose further comprising means for listing names of the instant messaging sessions involving a party in a directory. Friesen does teach a means for listing names of the instant messaging sessions involving a party in a directory (column 13, lines 10-30). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Pledereder's invention to include a means for listing names of the instant messaging sessions involving a party in a directory. One of ordinary skill in the art would have been motivated to include a means for listing names of the instant messaging sessions involving a party in a directory in order to make it easier for traders to know who is presently trading.

Regarding claim 28, Pledereder discloses the system of claim 27. However Pledereder does not disclose a means for displaying the directory listing of names to the party, and embedding a user-selectable link leading to named instant messaging session in its displayed directory name. Friesen does disclose a means for displaying the directory listing of names to the party, and embedding a user-selectable link leading to named instant messaging session in its displayed directory name (Fig 11). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Pledereder's invention to include a means for displaying the directory listing of names to the party, and embedding a user-selectable link leading to named instant

Art Unit: ~~3609~~ 4172

messaging session in its displayed directory name. One of ordinary skill in the art would have been motivated to include a feature where the list of names and a users selectable link to an instant message in order to insure the traders are able to communicate with any of the traders who are using the platform.

Regarding claim 45, Pledereder discloses a format for an electronic trading message comprising: a fixed number of alphanumeric data fields, wherein the number is fixed according to financial industry protocols (Abstract, lines 1-4). However Pledereder does not disclose an identification of a sender of the message; and an activation link for an instant messaging session between a recipient of the message and the sender of the message. Friesen does disclose an identification of a sender of the message (col13, lines 6-9); and an activation link for an instant messaging session between a recipient of the message and the sender of the message (col 13, lines 10-30). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Pledereder's invention to include a feature to identify a sender of the message; and an activation link for an instant messaging session between a recipient of the message and the sender of the message. One of ordinary skill in the art would have been motivated to do include a feature to identify a sender of the message; and an activation link for an instant messaging session between a recipient of the message and the sender of the message in order to make the entire process more efficient between the traders.

Regarding claim 47 Pledereder discloses the format of claim 45. However Pledereder does not disclose wherein the identification of the sender is linked to

Art Unit: ~~3609~~ 4172

identifications of a coverage team associated with the sender, wherein the coverage team includes at least the sender, and wherein the activation link activates an instant messaging session between the recipient of the message and the coverage team.

Friesen discloses wherein the identification of the sender is linked to identifications of a coverage team associated with the sender, wherein the coverage team includes at least the sender, and wherein the activation link activates an instant messaging session between the recipient of the message and the coverage team (column 13, lines 10-30).

Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Pledereder's invention to include a method of identification of the sender is linked to identifications of a coverage team associated with the sender, wherein the coverage team includes at least the sender, and wherein the activation link activates an instant messaging session between the recipient of the message and the coverage team. One of ordinary skill in the art would have been motivated to include a feature where both parties are notified via instant messaging in order to ensure the transactions between the traders are executed without any errors.

2. Claims 2,3,7-17,20,22-25,29-31,46 are being rejected under 35 U.S.C 103(a) as being unpatentable over US 20030167223 to Pledereder in view of Friesen and further in view of US Patent 6,347,307 to Sandhu.

Regarding claim 2, Pledereder teaches the method of claim 1. However Pledereder does not disclose wherein receiving an electronic message from a sender party comprises receiving an indication of interest message for trading financial instruments. Sandhu teaches receiving an electronic message from a sender party

Art Unit: 3609 ~~4172~~

comprises receiving an indication of interest message for trading financial instruments (Column 41, lines 58-67). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Pledereder's invention to include a feature to receive an electronic message from a sender party which included an indication of interest message for trading financial instruments. One of ordinary skill in the art would have been motivated to include a feature to receive an electronic message from a sender party which included an indication of interest message for trading financial instruments in order to ensure the traders are executing the correct trade.

Regarding claim 3, Pledereder teaches the method of claim 1. However Pledereder does not teach wherein receiving and transmitting the electronic messages comprise displaying the messages on web pages accessible to the parties. Sandhu does teach receiving and transmitting the electronic messages comprise displaying the messages on web pages accessible to the parties (Fig 1: 10,140; column 54, lines 55-56). Therefore it would have been obvious to to one of ordinary skill in the art at the time of the invention to modify Pledereder's invention to include receiving and transmitting the electronic messages comprise displaying the messages on web pages accessible to the parties. One of ordinary skill in the art would have been motivated to include receiving and transmitting the electronic messages comprise displaying the messages on web pages accessible to the parties in order to ensure that both parties are receiving all pertinent information as soon as possible.

Regarding claim 7, Pledereder discloses the method of claim 6. However Pledereder does not disclose making a subset of data records available to a party for

Art Unit: 3609 ~~4172~~

viewing on web page displays. Sandhu does teach making a subset of data records available to a party for viewing on web page displays (Fig1: 100,110). Therefore it would have been obvious to one of ordinary skill in the art the time of the invention to modify Pledereeder's invention to include making a subset of data records available to a party for viewing on web page displays. One of ordinary skill in the art would have been motivated to include making a subset of data records available to a party for viewing on web page displays in order to ensure that proper archiving of records is kept of all trading transactions.

Regarding claim 8, Pledereeder discloses the method of claim 7. However Pledereeder does not disclose wherein the web page display views are based on customizable templates, further comprising storing customized web page templates. Sandhu does teach wherein the web page display views are based on customizable templates, further comprising storing customized web page templates (column 54, lines 55-67). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Pledereeder's invention to include a feature wherein the web page display views are based on customizable templates, further comprising storing customized web page templates. One of ordinary skill in the art would have been motivated to include a feature wherein the web page display views are based on customizable templates, further comprising storing customized web page templates in order to make it easier for the traders to obtain all pertinent data regarding the trades as quickly as possible.

Regarding claim 9, Pledederer discloses the method of claim 1.

However Pledederer does not disclose wherein the information augmentation comprises providing person-to-person contact. Sandhu does disclose wherein the information augmentation comprises providing person-to-person contact (Fig 1:120). Therefore it would have been obvious to one ordinary skill in the art at the time of the invention to modify Pledederer's invention to include a way to provide person to person contact. One of ordinary skill in the art would have been motivated to include a way to person to person contact in order to ensure traders are communicating effectively.

Regarding claim 10, Plederer discloses the method of claim 9. However Pledederer does not disclose herein providing a person-to-person contact comprises providing an instant messaging session between the between the sender party and the recipient party in response to the latter's activation of the activation link in the displayed message. Sandhu does disclose person-to-person contact comprises providing an instant messaging session between the between the sender party and the recipient party in response to the latter's activation of the activation link in the displayed message (Fig 1: 90,140). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to include person-to-person contact comprising providing an instant messaging session between the between the sender party and the recipient party in response to the latter's activation of the activation link in the displayed message. One of ordinary skill in the art would have been motivated to include person-to-person contact comprising providing an instant messaging session between the between the sender party and the recipient party in response to the latter's activation of

Art Unit: ~~3609~~ 4172

the activation link in the displayed message in order to ensure traders to ensure that trades are executed between traders without any errors.

Regarding claims 11-12, Pledereder's discloses the method of claim 10.

However Pledereder does not disclose wherein the sender party is associated with a first coverage team including at least the sender party, wherein the recipient party is associated with a second coverage team including at least the recipient party, and wherein the information augmentation comprises providing an instant messaging session between the first and second coverage teams in response to the latter's activation of the activation link in the displayed message wherein the instant messaging sessions involving a party are given names and the names are entered in a directory. Friesen does disclose wherein the sender party is associated with a first coverage team including at least the sender party, wherein the recipient party is associated with a second coverage team including at least the recipient party, and wherein the information augmentation comprises providing an instant messaging session between the first and second coverage teams in response to the latter's activation of the activation link in the displayed message wherein the instant messaging sessions involving a party are given names and the names are entered in a directory further (column 13, lines 10-30).

Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Pledereder's invention to include a feature whereby the sender party is associated with a first coverage team including at least the sender party, wherein the recipient party is associated with a second coverage team including at least the recipient party, and wherein the information augmentation comprises providing an

Art Unit: 3609 ~~41~~ 72

instant messaging session between the first and second coverage teams in response to the latter's activation of the activation link in the displayed message. One of ordinary skill in the art would have been motivated to include a feature where both parties are notified via instant messaging in order to ensure the transactions between the traders are executed without any errors.

Regarding claim 13, Pledereder discloses the method of claim 12. However Pledereder does not disclose displaying the directory of names to the party, and embedding a user-selectable link leading to named instant messaging session it its displayed name. Friesen does teach displaying the directory of names to the party, and embedding a user-selectable link leading to named instant messaging session it its displayed name (Fig 11: 1104; column 12, lines 6-9). Therefore it would have been obvious to one of ordinary skill in the art the time of the invention to include a feature to display the directory of names to the party, and embedding a user-selectable link leading to named instant messaging session it its displayed name. One of ordinary skill in the art would have been motivated to include a feature where both parties are notified via instant messaging in order to ensure the transactions between the traders are executed without any errors.

Regarding claim 14, Pledereder discloses the method of claim 1. However Pledereder does not disclose wherein the information augmentation comprises an additional information file attached to the received message. Sandhu does disclose the information augmentation comprises an additional information file attached to the received message (column 54, lines 7-24). Therefore it would have been obvious to

Art Unit: 3609 4172

one of ordinary skill in the art at the time of the invention to modify Pledereeder's invention to include information augmentation comprises an additional information file attached to the received message. One of ordinary skill in the art would have been motivated to include a feature wherein information augmentation comprises an additional information file attached to the received message in order to make sure all the information is available to the traders before executing a trade.

Regarding claim 15, Pledereeder discloses the method of claim 14. However Pledereeder does not disclose comprising providing a tool to generate and attach an additional information file to the message. Sandhu does teach disclose comprising providing a tool to generate and attach an additional information file to the message (Column 53, lines 62-64). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to include a tool to generate and attach an additional information file to the message. One of ordinary skill in the art would have been motivated to include a tool to generate and attach an additional information file to the message in order to make sure all the information is available to the traders before executing a trade.

Regarding claim 16, Pledereeder discloses the method of claim 14. However Pledereeder does not disclose transmitting the electronic message to a recipient party for fixed format display comprises marking the message to indicate the presence of the attached additional information file. Sandhu does disclose transmitting the electronic message to a recipient party for fixed format display comprises marking the message to indicate the presence of the attached additional information file (Column 54, lines 27-

Art Unit: ~~3609~~ 4172

28). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Pledereder's invention to include a feature to transmit an the electronic message to a recipient party for fixed format display comprises marking the message to indicate the presence of the attached additional information file in order to make sure all information is available to both parties before the trade is executed. One of ordinary skill in the art would have been motivated to include a feature to transmit an the electronic message to a recipient party for fixed format display comprises marking the message to indicate the presence of the attached additional information file in order to make sure all information is available to both parties before the trade is executed.

Regarding claim 17, Pledereder discloses the method of claim 14. However Pledereder does not disclose providing the information augmentation in response to activation of the link comprises displaying the attached additional information file as an HTML page. Sandhu does disclose providing the information augmentation in response to activation of the link comprises displaying the attached additional information file as an HTML page (column 54, lines 57-67). One of ordinary skill in the art would have been motivated providing the information augmentation in response to activation of the link comprises displaying the attached additional information file as an HTML page in order to make it easier for traders to access and view all additional information.

Regarding claim 20, Pledereder discloses the system of claim 18. However Plederer does not disclose wherein the means for receiving and the transmitting messages comprise means for displaying the messages on web pages accessible to the parties. Sandhu does disclose a means for receiving and the transmitting

Art Unit: ~~3609~~ 4172

messages comprise means for displaying the messages on web pages accessible to the parties (Fig 1:100,140,160). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Pledereder's invention to include a means for receiving and the transmitting messages comprise means for displaying the messages on web pages accessible to the parties. One of ordinary skill in the art would have been motivated to include a means for receiving and the transmitting messages comprise means for displaying the messages on web pages accessible to the parties in order to make it easy for traders to send and receive message between themselves.

Regarding claim 22, Pledereder discloses the system of claim 21. However Pledereder does not disclose further comprising means for making a subset of data records available to a party for viewing on web page displays. Sandhu does disclose a means for making a subset of data records available to a party for viewing on web page displays (Fig1: 100,110). Therefore it would have been obvious to one of ordinary skill in the art the time of the invention to modify Pledereder's invention to include making a subset of data records available to a party for viewing on web page displays. One of ordinary skill in the art would have been motivated to include making a subset of data records available to a party for viewing on web page displays in order to ensure that proper archiving of records is kept of all trading transactions.

Regarding claim 23, Pledereder discloses the system of claim 22. However Pledereder does not disclose the web page display views are based on customizable templates, further comprising means for storing customized web page templates.

Sandhu does disclose the web page display views are based on customizable templates, further comprising means for storing customized web page templates (column 54, lines 55-67). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Pledereder's invention to include a feature wherein the web page display views are based on customizable templates, further comprising storing customized web page templates. One of ordinary skill in the art would have been motivated to include a feature wherein the web page display views are based on customizable templates, further comprising storing customized web page templates in order to make it easier for the traders to obtain all pertinent data regarding the trades as quickly as possible.

Regarding claim 24, Pledereder does disclose the system of claim 18. However Pledereder does not teach a means for providing information augmentation comprises means for providing person-to-person contact. Sandhu does teach a means for providing information augmentation comprises means for providing person-to-person contact (Fig 1: 120,140). Therefore it would have been obvious to one ordinary skill in the art at the time of the invention to modify Pledereder's invention to include a way to provide person to person contact. One of ordinary skill in the art would have been motivated to include a way to person to person contact in order to ensure traders are communicating effectively.

Regarding claim 25, Pledereder does disclose the system of claim 18. However Pledereder does not teach the means for providing the information augmentation comprises means for providing an instant messaging session between the sender party

Art Unit: ~~3609~~ 4172

and the recipient party in response to the latter's activation of the activation link in the displayed message. Sandhu does teach a means for providing the information augmentation comprises means for providing an instant messaging session between the sender party and the recipient party in response to the latter's activation of the activation link in the displayed message (Fig 1: 90,140). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to include means for providing the information augmentation comprises means for providing an instant messaging session between the sender party and the recipient party in response to the latter's activation of the activation link in the displayed message. One of ordinary skill in the art would have been motivated to include means for providing the information augmentation comprises means for providing an instant messaging session between the sender party and the recipient party in response to the latter's activation of the activation link in the displayed message in order to ensure trades to ensure that trades are executed between traders without any errors.

Regarding claim 29, Pledereeder discloses the system of claim 18. However Pledereeder does not disclose a tool to generate and attach an additional information file to a message. Sandhu does disclose a tool to generate and attach an additional information file to a message (Column 53, lines 62-64). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to include a tool to generate and attach an additional information file to the message. One of ordinary skill in the art would have been motivated to include a tool to generate and attach an

Art Unit: ~~3609~~ 4172

additional information file to the message in order to make sure all the information is available to the traders before executing a trade.

Regarding claim 30, Pledereder discloses the system of claim 29. However Pledereder does not disclose a means for transmitting the message to a recipient party for restricted size display comprises means for marking the message indicate the presence of the attached additional information file. Sandhu does disclose a means for transmitting the message to a recipient party for restricted size display comprises means for marking the message indicate the presence of the attached additional information file (Column 54, lines 27-28). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to include a means for transmitting the message to a recipient party for restricted size display comprises means for marking the message indicate the presence of the attached additional information file. One of ordinary skill in the art would have been motivated to include a means for transmitting the message to a recipient party for restricted size display comprises means for marking the message indicate the presence of the attached additional information file in order to make sure all information is available to both parties before the trade is executed.

Regarding claim 31, Pledereder does disclose the system of claim 29. However Pledereder does not disclose the means for providing the information augmentation in response to activation of the link comprises means for displaying the attached addition information file as an HTML page. Sandhu does teach a means for providing the information augmentation in response to activation of the link comprises means for

Art Unit: ~~3609~~ 4172

displaying the attached addition information file as an HTML page (column 54, lines 57-67). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to include a means for displaying the attached addition information file as an HTML page. One of ordinary skill in the art would have been motivated to include a means for displaying the attached addition information file as an HTML page in order to make it easier for traders to access and view all additional information.

Regarding claim 46, Pledereder discloses the format of claim 45, wherein the number is fixed according to the Financial Information Exchange protocols. However Pledereder does not disclose wherein the message is an indication of interest message. Sandhu does disclose the message to be an indication of interest message (column 41, lines 58-67). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Pledereder's invention to include an indication of interest message. One of ordinary skill in the art would have been motivated to include an indication of interest message in order to make certain that both traders are genuinely interested in making the trading transaction.

3. Claims 4,19 are rejected under 35 U.S.C 103(a) as being unpatentable over Pledereder in view of Friesen and further in view of US 2004/0133506 to Glodjo et al, herein referred to as Glodjo.

Regarding claim 4, Pledereder discloses the method of claim 1. However Pledereder does not disclose wherein transmitting messages further comprises adding time stamps and sender identification to the received messages. Glodjo does disclose wherein transmitting messages further comprises adding time stamps and

Art Unit: ~~3609~~ 4172

sender identification to the received messages (Paragraph 119). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Pledereeder's invention to include a feature to include transmitting messages further comprises adding time stamps and sender identification to the received messages. One of ordinary skill in the art would have been motivated to include a feature whereby adding a time stamp to the transmitted message in order to identify the exact time a trader sent their message.

Regarding claim 19, Pledereeder discloses the system of claim 18. However Pleader does not disclose means for transmitting messages further comprises means for adding time stamps and sender identification to the received messages. Glodjo does disclose a means for transmitting messages further comprises means for adding time stamps and sender identification to the received messages ((Paragraph 119). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Pledereeder's invention to include a means for transmitting messages further comprises means for adding time stamps and sender identification to the received messages. One of ordinary skill in the art would have been motivated to include a feature whereby adding a time stamp and sender information to the transmitted message in order to identify the exact time and to whom the trader sent their message.

4. Claim 5 is being rejected under 35 U.S.C 103(a) as being unpatentable over US 20030167223 to Pledereeder in view of Friesen and further in view of US 20002/0128955 to Brady.

Regarding claim 5, Pledereder discloses the method of claim 1. However Pledereder does not disclose wherein embedding an activation link comprises embedding HTML links in the displayed message. However Brady does disclose wherein embedding an activation link comprises embedding HTML links in the displayed message. (Paragraph 60). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Pledereder's invention to include a feature to embed an activation link comprises embedding HTML links in the displayed message. One of ordinary skill in the art would be motivated to include a feature to embed an activation link comprises embedding HTML links in the displayed message in order to make it easier for traders to access their messages from their fellow traders.

5. Claims 32,38,41 are being rejected under 35 U.S.C 103(a) as being unpatentable over US 20020128955 to Brady in view of US Patent 7,212,999 to Friesen.

Regarding claim 32, Brady discloses a trading message platform for providing industry protocol-governed messages over a computer network, comprising: A plurality of access devices coupled to the computer network, wherein each access device of the plurality of access devices is associated with a user of a plurality of users (Abstract, lines 1-5). However Brady does not disclose a server coupled to the computer network, wherein the server is configured to process the messages sent and received amongst the users and to provide web pages from which a user may send a message. Pledereder does teach a server coupled to the computer network, wherein the server is configured to process the messages sent and received amongst the users and to provide web pages from which a user may send a message (Fig 6A: 603; 604).

Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Brady's invention to include a server coupled to the computer network, wherein the server is configured to process the messages sent and received amongst the users and to provide web pages from which a user may send a message. One of ordinary skill in the art would be motivated to include a server coupled to the computer network, wherein the server is configured to process the messages sent and received amongst the users and to provide web pages from which a user may send a message in order make the entire process more efficient. Brady does not disclose a way to view a protocol-governed message display, and respond to a received message display, wherein the received message display includes a navigation link leading to additional information related to the protocol-governed message. However Friesen does teach a way to view a protocol-governed message display, and respond to a received message display, wherein the received message display includes a navigation link leading to additional information related to the protocol-governed message (Column 13, lines 10-30). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Brady's invention to include a feature to view a protocol-governed message display, and respond to a received message display, wherein the received message display includes a navigation link leading to additional information related to the protocol-governed message. One of ordinary skill in the art would be motivated to include a feature to view a protocol-governed message display, and respond to a received message display, wherein the received message display includes a navigation link leading to additional information related to the protocol-

Art Unit: ~~3609~~ 4172

governed message in order to ensure transparency between all the traders who have logged on to the system.

Regarding claim 38, Brady teaches the trading message platform of claim 32. However Brady does not teach wherein the sender party is associated with a first coverage team including at least the sender party, wherein the recipient is associated with a second coverage team including at least the recipient party, and wherein the server is configured to set up an instant messaging session between the coverage teams associated with the sender and the recipient when the latter activates the navigation link leading to additional information in the displayed message. Friesen does teach wherein the sender party is associated with a first coverage team including at least the sender party, wherein the recipient is associated with a second coverage team including at least the recipient party, and wherein the server is configured to set up an instant messaging session between the coverage teams associated with the sender and the recipient when the latter activates the navigation link leading to additional information in the displayed message (column 13, lines 16-22). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Brady's invention to include a feature wherein the sender party is associated with a first coverage team including at least the sender party, wherein the recipient is associated with a second coverage team including at least the recipient party, and wherein the server is configured to set up an instant messaging session between the coverage teams associated with the sender and the recipient when the latter activates the navigation link leading to additional information in the displayed message. One of

Art Unit: 3609 ~~4172~~

ordinary skill in the art would have been motivated to include a feature where both parties are notified via instant messaging in order to ensure the transactions between the traders are executed without any errors.

Regarding claim 41, Brady discloses the trading message platform of claim 32. However Brady does not disclose further comprising a tool to generate and attach an additional information file to a message. Friesen does teach a tool to generate and attach an additional information file to a message (Column 13, lines 28-30). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Brady's invention to include a tool to generate and attach an additional information file to a message. One of ordinary skill in the art would have been motivated to include including a tool to generate and attach an additional information file to a message in order to ensure that all pertinent information is available to the traders before they execute the trade.

6. Claims 33,35-37,39-40,42-44 are being rejected under 35 U.S.C 103(a) as being unpatentable over Brady in view of Friesen and further in view of Sandhu.

Regarding claim 33, Brady discloses the trading message platform of claim 32 (Abstract, lines 1-5) . However Brady does not teach wherein the computer network is the Internet. Sandhu does the computer network is the Internet (Fig 1: 10). Therefore it would have been obvious to one of ordinary skill at the time of the invention to modify Brady's invention to include the computer network as the internet. One of ordinary skill in the art would be motivated to include the computer network as the internet in order to minimize the communication time between the traders.

Regarding claim 35, Brady discloses the trading message platform of claim 32. However Brady does not disclose a server that is further configured to store the sent and received messages amongst the parties as data records in a database. Sandhu teaches a server that is further configured to store the sent and received messages amongst the parties as data records in a database (Abstract, lines 1-5). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Brady's invention to include a server that is further configured to store the sent and received messages amongst the parties as data records in a database. One of ordinary skill in the art would have been motivated to include a feature to include a server that is configured to store records in a database in order that proper archiving is kept of all trading transactions.

Regarding claim 36, Brady discloses the trading message platform of claim 35. However Brady does not disclose wherein the server is of further configured for making a subset of data records available to a user for viewing. Sandhu does teach wherein the server is of further configured for making a subset of data records available to a user for viewing (Fig1: 100&110). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Brady's invention to include a server that is further configured for making a subset of data records available to a user for viewing . One of ordinary skill in the art would have been motivated to include a feature to include a server that is configured to allow users to view a subset of data records in order that users can view all details of previous transactions any time they want.

Art Unit: 3609 4172

Regarding claim 37, Brady discloses the trading message platform of claim 32. However Brady does not disclose wherein the server is configured to set up an instant messaging between a sender and a recipient of a message when the latter activates the navigation link leading to additional information in the displayed message. Sandhu does disclose wherein the server is configured to set up an instant messaging between a sender and a recipient of a message when the latter activates the navigation link leading to additional information in the displayed message (Fig 1: 120&140). Therefore it would have been obvious to one of skill in the art at the time of the invention to modify Brady's invention to include a server that is configured to set up an instant messaging between a sender and a recipient of a message when the latter activates the navigation link leading to additional information in the displayed message. One of ordinary skill in the art would have been motivated to include a feature to include a server that is configured for instant message between recipients and which activates a navigational link in order to ensure that traders receive all related transaction information as quickly as possible.

Regarding claim 39, Brady discloses the trading message platform of claim 37. However Brady does not disclose wherein the server is configured to list names of the instant messaging sessions involving a user in a directory. Friesen does disclose a server that is configured to list names of the instant messaging sessions involving a user in a directory (Column 13, lines 24-25). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Brady's invention to include a server that is configured to list names of the instant messaging sessions

Art Unit: 3609 4172

involving a user in a directory. One of ordinary skill in the art would have been motivated to include a server that is configured to list names of the instant messaging sessions involving a user in a directory in order to ensure that all active traders are aware of the other traders on the floor.

Regarding claim 40, Brady discloses the trading message platform of claim 39. However Brady does not disclose herein the server is further configured to display the list of names in a directory to the user and for embedding a user-selectable link leading to named instant messaging session in its displayed directory name. Friesen teaches a server that is further configured to display the list of names in a directory to the user and for embedding a user-selectable link leading to named instant messaging session in its displayed directory name (Column 13, lines 6-9). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Brady's invention to include a server that is further configured to display the list of names in a directory to the user and for embedding a user-selectable link leading to named instant messaging session in its displayed directory name. One of ordinary skill in the art would have been motivated to include a feature where the list of names and a users selectable link to an instant message in order to insure the traders are able to communicate with any of the traders who are using the platform.

Regarding claim 42, Brady does disclose the trading message platform of claim 41. However Pledereder does not disclose wherein the server is configured to mark the display of the message on the access devices to indicate the presence of the attached additional information file. Sandhu does disclose the server is configured to mark the

Art Unit: 3609 4172

display of the message on the access devices to indicate the presence of the attached additional information file (Column 54, lines 27-28). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Brady's invention to include the server which is configured to mark the display of the message on the access devices to indicate the presence of the attached additional information file. One of ordinary skill in the art would have been motivated to include the server which is configured to mark the display of the message on the access devices to indicate the presence of the attached additional information file in order to make sure all information is available to both parties before the trade is executed.

Regarding claim 43, Brady discloses the trading message platform of claim 41. However Brady does not disclose wherein the server is configured to display the additional information file as an HTML page in response to activation of the link leading to additional information. Sandhu does disclose a server that is configured to display the additional information file as an HTML page in response to activation of the link leading to additional information (Column 54, lines 38-44; 55-57). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to modify Brady's invention to include a server that is configured to display the additional information file as an HTML page in response to activation of the link leading to additional information. One of ordinary skill in the art would have been motivated to include a server that is configured to display the additional information file as an HTML page in response to activation of the link leading to additional information in order to make it easier for the traders to execute their trades as fast as possible.

Art Unit: 3609 ~~4172~~

Regarding claim 44, Brady discloses the trading message platform of claim 32. However Brady does not disclose a gateway for receiving messages from and sending messages to an external messaging service. Sandhu does disclose a gateway for receiving messages from and sending messages to an external messaging service (Fig 1: 140). Therefore it would have been obvious to one of ordinary skill in the art at the time of the invention to include a gateway for receiving messages from and sending messages to an external messaging service. One of ordinary skill in the art would have been motivated to include a gateway for receiving messages from and sending messages to an external messaging service in order to ensure that traders are receiving all pertinent information regarding the trade quickly before they execute the trade.

7. Claim 34 is being rejected rejected under 35 U.S.C 103(a) as being unpatentable over Brady in view of Friesen and further in view of Glodjo. Regarding claim 34, Brady discloses the trading message platform of claim 32. However Brady does not disclose wherein the server is configured to time stamp and add sender identification to the messages sent and received amongst the users. Glodjo discloses a server that is configured to time stamp and add sender identification to the messages sent and received amongst the users. Therefore it would have been obvious to one of skill in the art at the time of the invention to include a server that is configured to time stamp and add sender identification to the messages sent and received amongst the users. One of ordinary skill in the art would have been motivated to include a feature whereby adding a server that is configured to time stamp and add sender information to the

Art Unit: ~~3609~~ 4172

transmitted message in order to identify the exact time and to whom the trader sent their message using the server platform.

CONCLUSION

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Mohammad Z. Shaikh whose telephone number is (571)270-03444. The examiner can normally be reached on Monday-Friday (7:30-5); alt Fridays.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Tom Dixon can be reached on 571-272-6803. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.



NAEEM HAQ
PRIMARY EXAMINER

Mohammad Z Shaikh
Examiner
Art Unit 3609